



DOCKET NO.: PUAS-0016/

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Stephen R. Forrest, et al.

Serial No.: 09/982,001

Group Art Unit: 2874

Filing Date: October 18, 2001

Examiner: Not Yet Assigned

For: TWIN WAVEGUIDE BASED DESIGN FOR PHOTONIC INTEGRATED CIRCUITS

DATE OF DEPOSIT: 9/17/02
I HEREBY CERTIFY THAT THIS PAPER IS BEING
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TYPED NAME: John E. McGlynn
REGISTRATION NO.: 42,863

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 C.F.R. §1.56 and in accordance with 37 C.F.R. §§1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 C.F.R. §1.56(b).

- ☒ In accordance with §1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of the above identified application as set forth in §1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or before the mailing date of a first office action after the filing of request for continued examination under §1.114, no additional fee is required.

- ☐ In accordance with §1.129(a), this Information Disclosure Statement is being filed in connection with ☐the first or ☐second After Final Submission, therefore:
- ☐ Certification in Accordance with §1.97(e) is attached; or
- ☐ The fee of **\$180.00** as set forth in §1.17(p) is attached.
- ☐ In accordance with §1.97(c), this Information Disclosure Statement is being filed after the period set forth in §1.97(b) above but before the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311, or before an action that otherwise closes prosecution in the application, therefore:
- ☐ Certification in Accordance with §1.97(e) is attached; or
- ☐ The fee of **\$180.00** as set forth in §1.17(p) is attached.
- ☐ In accordance with §1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with §1.97(e); and the submission fee of **\$180.00** as set forth in §1.17(p).
- ☒ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.
- ☐ Copies of references listed on the attached Form PTO-1449 are enclosed herewith EXCEPT THAT:
- ☐ In view of the voluminous nature of references [list as appropriate], and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.

- ☐ In accordance with §1.98(d), copies of the following references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. §120 have been made in the instant application:
- ☐ Copies of references listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior application Serial No. , filed.
- ☐ If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.

This form is submitted in duplicate.

There are no listed references which are not in the English language.

Date:

9/17/02


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Form PTO-1449 Modified List of Patent and Publications Cited by Applicant (Use several sheets if necessary) U.S. Department of Commerce Patent and Trademark Office		Docket No. PUAS-0016	Serial No. 09/982,001
		Applicant Stephen R. Forrest, et al.	
		Filing Date October 18, 2001	Group 2874
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)			
	23	Dagenais, M., et al., "Alignment tolerant lasers and silicon waferboard integration," <i>Passive Alignment Techniques for Optoelectronic Transmitter Arrays</i> , http://www.ee.umd.edu/photonics/papers/spie/SPIE97.htm , 1997, 6 pages	
	24	Dagenais, M., et al., "complex needs drive optoelectronic integration," <i>Optoelectronics World</i> , July 1998, 157-160	
	25	Saini, S.S., et al., "Compact mode expanded lasers using resonant coupling between a 1.55- μ m InGaAsP tapered active region and an underlying coupling waveguide," <i>IEEE Photonics Technology Letters</i> , September 1998, 10(9), 3 pages	
	26	Vusirikala, V., et al., "1.55- μ m InGaAsP-InP laser arrays with integrated-mode expanders fabricated using a single epitaxial growth," <i>IEEE J. Selected Topics in Quantum Electronics</i> , December 1997, 3(6), 1332-1343	
EXAMINER		DATE CONSIDERED	

**Form PTO 449 Modified**

List of Patent and Publications
Cited by Applicant
(Use several sheets if necessary)

U.S. Department of Commerce
Patent and Trademark Office

Docket No.
PUAS-0016

Serial No.
09/982,001

Applicant
Stephen R. Forrest, et al.

Filing Date
October 18, 2001

Group
2874

U. S. PATENT DOCUMENTS

Examiner Initial		Document No.	Date	Name	Class	Subclass
	27	5,917,967	06/29/99	Dubey, et al.	385	14
	28	6,051,445	04/18/00	Dubey, et al.	438	31
	29	US 6,310,995 B1	10/230/01	Saini, et al.	385	28
	30	US 6,311,003 B1	10/30/01	Dubey, et al.	385	130
	31	US 6,314,117 B1	11/06/01	Landsman, et al.	709	203
	32	US 6,339,496 B1	01/15/02	Koley, et al.	359	344

FOREIGN PATENT DOCUMENTS

Examiner Initial		Document No.	Date	Country	Translation	
					YES	NO

EXAMINER**DATE CONSIDERED**